

DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

Organic Buffer Layer for Organic Light-Emitting Device,
the specification of which is attached hereto unless the following box is checked:

☐ was filed on _____ as United States Application Number or PCT International Application Number _____ and was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 USC 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	Priority Claimed <input type="checkbox"/> Yes <input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes <input type="checkbox"/> No

I hereby claimed the benefit under 35 USC 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of 35 USC 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

_____ (Application Number)	_____ (Filing Date)	_____ (Status-patented, pending, abandoned)
_____ (Application Number)	_____ (Filing Date)	_____ (Status-patented, pending, abandoned)

I hereby appoint the following attorney(s) and/or agent(s), with full powers of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

Raymond Yat Chan, Reg. No. 37,484

Address all correspondence to: 108 N. Ynez Ave., Suite 128, Monterey Park, CA 91754.

Telephone Calls to: (626) 571-9812

I hereby declare that all Statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor (given name, family name) Xiao-Yuan Hou

Inventor's signature Xiao Yuan Hou Date Dec. 10, 2003
Residence As follows Citizenship China
Post Office Address No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

Full name of second joint inventor, if any (given name, family name) Yi-Qiang Zhan

Second Inventor's signature Yi-Qiang Zhan Date Dec 10, 2003
Residence As follows Citizenship China
Post Office Address No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

☐ Additional inventors are being named on separately numbered sheets attached hereto.

Applicant or Patentee: _____ Attorney's
Serial or Patent No.: _____ Docket No.: USP2343C-DRSH
Filed or Issued: _____
For: _____

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9 (f) and 1.27 (b)) – INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 CFR 1.9 (c) for purposes of paying reduced fees under section 41 (a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled:

Organic Buffer Layer for Organic Light-Emitting.... described in:

☒ the specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 CFR 1.9 (c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9 (d) or a non profit organization under 37 CFR 1.9 (e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

☒ no such person, concern, or organization
☐ person, concern or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statements is directed.

<u>Xiao-Yuan Hou</u>	<u>Yi-Qiang Zhan</u>	
NAME OF INVENTOR	NAME OF INVENTOR	NAME OF INVENTOR
<u>Xiao Yuan Hou</u>	<u>Yi-Qiang Zhan</u>	
Signature of Inventor	Signature of Inventor	Signature of Inventor
<u>Dec. 10, 2003</u>	<u>Dec. 10, 2003</u>	
Date	Date	Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: _____
Filing Date: _____
Serial No.: _____
Examiner: _____
Art Unit: _____

Title Organic Buffer Layer for Organic Light-Emitting Device and
Producing Method Thereof

To: Commissioner of Patents
P.O. Box 1450, Alexandria, VA22313-1450

POWER OF ATTORNEY BY ASSIGNEE

As a named assignee of the above identified application, I hereby appoint the following attorney(s)
and/or agent(s) to prosecute and transact all business in the Patent and trademark Office connected with the
above application:

Raymond Yat Chiu Chan, Reg. No. 37,484

Please Send Correspondence to:

Raymond Y. C. Chan
108 N. Ynez Avenue, Suite 128
Monterey Park, CA 91754

Please Direct Telephone Calls to:

Raymond Y. C. Chan
(626) 571-9812

NAME OF ASSIGNEE: Fudan University
NAME OF PERSON SIGNING: Xiao-Yuan Hou
TITLE: Director of Surface Physics Laboratory (National Key Laboratory)
ADDRESS: No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

Xiao Yuan Hou
SIGNATURE

Dec. 10, 2003
DATE

Applicant or Patentee: _____ Attorney's
Serial or Patent No.: _____ Docket No.: **USP2343C-DRSH**
Filed or Issued: _____
For: _____

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9 (f) and 1.27 (c)) – SMALL BUSINESS CONCERN**

I hereby declare that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: Xiao-Yuan Hou

Address of Concern: No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR 121.3-18, and reproduced in 37 CFR 1.9 (d), for purposes of paying reduced fees under section 41(a) and (b) of title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power of control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention entitled: **Organic Buffer Layer for Organic Light-Emitting Device and Producing Method Thereof** described in:

- ☒ the specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR 1.9(d) or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

FULL NAME _____
ADDRESS _____
☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statements is directed.

Name of Person Signing: Xiao-Yuan Hou

Title of Person Other than the Owner: Director of Surface Physics Laboratory (National Key Laboratory)

Address of Person Signing: No.220.Handan Road, Fudan University, Shanghai, 200433 P.R.China

Xiao Yuan Hou Dec. 10, 2003
Signature Date

Applicant or Patentee: _____ Attorney's
Serial or Patent No.: _____ Docket No.: USP2343C-DRSH
Filed or Issued: _____
For: _____

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY
STATUS (37 CFR 1.9 (f) and 1.27 (d)) – NONPROFIT ORGANIZATION**

I hereby declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: Fudan University
Address: No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

Type of Organization:

- ☒ University or other institution of higher education.
☐ Tax exempt under Internal Revenue Service code (26 USC 501(a) and 501 (c)(3)).
☐ Nonprofit scientific or educational under statute of state of the United States of America.
Name of State: _____ Statute: _____
☐ Would qualify as tax exempt under Internal Revenue Service code (26 USC 501(a) and 501(c)(3)) if located in the United States of America.
☐ Would qualify as nonprofit scientific or educational under statute of state of the United States of America if located in the United States of America.
Name of State: _____ Statute: _____

I hereby declare that the above identified nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9 (e) for purposes of paying reduced fees under section 41(a) and (b) of title 35, United States Code.

I hereby declare that rights under contract or law have been conveyed to and remain with the nonprofit organization identified above with regard to the invention entitled: Organic Buffer Layer for Organic Light-Emitting Device and Producing Method Thereof described in:

- ☒ the specification filed herewith
☐ application serial no. _____, filed _____
☐ patent no. _____, issued _____

If the rights held by the above identified nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention must file separate verified statements averring to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). Each person, concern or organization having any rights in the invention is listed below:

☒ No such person, concern or organization ☐ Each such person, concern or organization as listed below:

Full Name:

Address: ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

Full Name:

Address: ☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NON PROFIT ORGANIZATION

☐ See attached sheet for additional person(s), concern(s) or organization(s)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28 (b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statements is directed.

Name and Title in Organization: Xiao-Yuan Hou
Director of Surface Physics Laboratory (National Key Laboratory)
Address: No. 220, Handan Road, Fudan University, Shanghai, 200433 P.R.China

Xiao Yuan Hou
Signature

Dec. 10, 2003
Date